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PATENT APPLICATION

Docket No: 14794.3.1.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of)
)
Kevin E. Collier)
)
Serial No.: 10/821,562) Art Unit
) 1723
Filed: April 9, 2004)
)
Confirmation No.: 1275)
)
For: CENTRIFUGAL SEPARATORS)

CERTIFICATE OF DEPOSIT UNDER 37 C.F.R. § 1.8

I hereby certify that the following documents are being deposited with the United States Postal Service as First Class Mail, postage prepaid, in an envelope addressed to: Commissioner for Patents, PO Box 1450, Alexandria, Virginia 22313-1450, on the 24th day of June 2005.

- Transmittal for Information Disclosure Statement (3 pages)
- Information Disclosure Statement (4 pages)
- Form PTO-1449 listing 123 references (6 pages)
- Postcard

Respectfully submitted,

DANA L. TANGREN
Attorney for Applicant
Registration No. 37,246
Customer No. 022913
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VERNON R. RICE §
OF COUNSEL

TRANSMITTAL FOR INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Transmitted herewith for filing and pursuant to 37 C.F.R. § 1.97 is an Information Disclosure Statement, which includes the following statements, if any, required variously by 37 C.F.R. § 1.98:

- X Statement of relevance of selected cited references not in the English language which are not translated.
- Statement that selected cited references are substantially cumulative of an enclosed or previously submitted reference.
- X Statement that selected cited references were previously cited by or submitted to the United States Patent and Trademark Office in a prior application which is relied upon for an earlier filing date under 35 U.S.C. § 120.

A. Additional Materials Required Due to Content of Information Disclosure Statement

Transmitted are the following documents in addition to the Information Disclosure Statement as required variously under 37 C.F.R. § 1.98:

- ☒ Form PTO-1449 listing 123 references submitted for consideration.
- ☐ A copy of _____ of the non-US references listed on the Form PTO-1449.
- ☐ English translations of _____ (____) of the references listed on the Form PTO-1449 which are not in the English language.
- ☐ Copies of the following documents from the prosecution of a previous, related application:
 - ☐ Form PTO-1449; and
 - ☐ Form PTO-892

B. Additional Materials Required Due to Timing of Filing of Information Disclosure Statement

The transmitted Information Disclosure Statement is being filed within one (1) of the following four (4) time periods:

- I. ☒ Prior to the later of either three (3) months following the filing date or the mailing of a first Office Action. Accordingly, no materials other than those listed above are enclosed.
- II. ☐ Following the latter of either three (3) months following the filing date or the mailing of a first Office Action, but before the mailing of a final Office Action or a Notice of Allowance. Accordingly, to secure consideration thereof, one (1) of the following is also enclosed:
 - ☐ Promptness Certification; or
 - ☐ Check No. _____ in the amount of \$180.00 constituting the submission fee set forth in 37 C.F.R. § 1.17(p).
- III. ☐ After the mailing of a Notice of Allowance, but before payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:
 - ☐ Promptness Certificate;
 - ☐ Petition for Consideration; and

____ Check No. in the amount of \$ _____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

IV. ____ After payment of the Issue Fee. Accordingly, in order to secure consideration thereof, each of the following are also enclosed:

____ Petition to Withdraw from Issue; and

____ Check No. _____ in the amount of \$ _____ constituting the petition fee set forth in 37 C.F.R. § 1.17(i)(1).

C. Fees

The Commissioner is hereby authorized to charge payment of or any deficiency in the following fees associated with this communication, or to credit any overpayment thereof, to Deposit Account No. 23-3178. A duplicate copy of this letter is enclosed.

X Any fee required in relation to filing of this letter or any documents transmitted therewith.

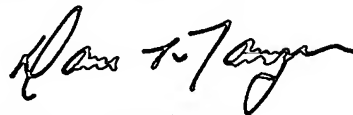
____ The submission fee set forth in 37 C.F.R. § 1.17(p) in the event that 37 C.F.R. § 1.97(c) applies and the Examiner is not satisfied that any Promptness Certificate submitted meets the requirements of 37 C.F.R. § 1.97(e).

____ The submission fee set forth in 37 C.F.R. § 1.17(p).

____ The petition fee set forth in 37 C.F.R. § 1.17(i)(1).

Dated this 24th day of June 2005.

Respectfully submitted,

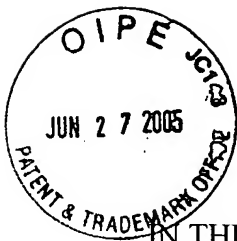


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Enclosures

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Filed:	April 9, 2004)
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Confirmation No.:	1275)
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For:	CENTRIFUGAL SEPARATORS)

INFORMATION DISCLOSURE STATEMENT
UNDER 37 CFR § 1.97

Commissioner for Patents
PO Box 1450
Alexandria, Virginia 22313-1450

Sir:

Please find, pursuant to 37 CFR § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 CFR § 1.56(c). While no representation is made that these references may be "prior art" within the meaning of that term under 35 USC §§ 102 or 103, the enclosed listed references are disclosed so as to fully comply with the duty of disclosure set forth in 37 CFR § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

Statement of Relevance of References Listed
Unaccompanied by English Translation
Under 37 C.F.R. § 1.98(a)(3)

In accordance with 37 CFR § 1.98(a)(3), the following concise explanation of the relevance of each listed reference that is not in the English language and unaccompanied by a translation into English is provided.

German Document No. 1 432 891 discloses what appears to be a centrifugal separator depicted in Figures 1-3.

German Document No. 23 36 564 discloses what appears to be a centrifugal separator depicted in Figures 1-3.

German Document No. DE 32 03 185 A1 discloses a rotor of a radial fan, with a round plate, a series of parallel vanes placed uniformly round its circumference, and a connecting ring, is produced by (1) taking a similar pattern with solid plate at one side plus the vanes but without the ring, (2) placing in a container with cylindrical interior and flat base, so that the vanes stand up from the base, (3) filling with sufficient molten wax to cover the edges of the solid plate to at least the thickness required for the fan plate and allowing to solidify, (4) withdrawing the pattern, (5) producing an annular groove in the base of the container to take the feet of the vanes, (6) casting the cavities with synthetic resin, allowing to harden, and melting out the wax. Thus, a one-piece rotor is produced in synthetic resin in a simple manner.

German Document No. DE 34 08 789 A1 discloses a centrifugal drum for separating oil from swarf, is supported at the end of a driving unit, to rotate about a horizontal axis. The drum has a conical part nearest the drive end, followed by a short cylindrical part and an outer shorter conical part. The second part has holes around it, for discharging oil and air, while swarf is discharged from the open end of the conical outer part. The mixture is fed into the innermost part of the first conical section by a sloping channel connected to a supply hopper and carries blades on its sloping surface, producing an air current. The air escapes round the end of a vertical baffle plate which almost closes the first section. The outer part carries outwardly projecting blades producing an air flow inside a hollow casing enclosing the drum. Efficiency of separation is improved by the air current produced.

German Document No. 1 113 184 discloses a centrifugal drum provided at its open end with inwardly extending resilient flaps, fingers, etc. (6) which are deflected into a direction parallel with or incline relative to the drum axis by the material introduced into withdrawn from the drum.

German Document No. 723 672 discloses what appears to be a weir separation system in Figure 1.

German Document No. 40702 discloses what appears to be a centrifugal separator depicted in Figures 1-7.

German Document No. 610 608 discloses what appears to be a centrifugal separator depicted in Figures 1 and 2.

German Document No. 321 855 discloses what appears to be a centrifugal separator depicted in Figures 1-3.

French Document No. 672.184 discloses what appears to be a weir separation system depicted in Figures 1 and 2.

French Document No. 826.502 discloses what appears to be a centrifugal separation system depicted in Figures 1 and 2.

Russian Document No. 957929 discloses a separator comprising of an inverted conical rotor, which has in the upper part a hollow conical cone and a cylindrical disc with perforated wells, and in the lower part radial blades. The arrangement eliminates counter-current flows of liquid and ensures laminar flow conditions in the lower part of the rotor, thereby preventing remixing of the separated fractions and improving the separation efficiency. The rotor is attached to the hollow shaft (6) which is carried by the bushes (7,8) on the hollow shaft (1) and is driven by the pulley (18). Liquid enters through radial holes in the upper part of the shaft and is thrown by the blades attached to the cone (11) on to the walls of the rotor (19). The less dense liquid enters the gap between the cone (11) and the disc (12) and is discharged through radial holes in the shaft (6) and the lower part of shaft (1). The heavier fraction enters the space between the disc (12) and the bottom of the rotor (14). The liquid is deflected by the ring (10) from the rotor walls and is separated from the impurities which collect in the bottom of the rotor. The liquid rises through the holes in the perforated wells (13) and is discharged along with the major liquid flow. The holes facing the shaft are larger than the others.

Polish Document No. 66 414 appears to disclose a centrifugal separator depicted in Figure 1.

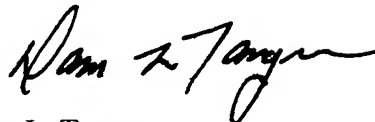
Polish Document No. 129 042 appears to disclose a separation system depicted in Figures 1-3.

Statement of References Previously Disclosed
Under 37 CFR § 1.98(d)

The attached Form PTO-1449 cites references which were previously submitted to or by the Office in United States patent application number 10/056,190 entitled METHODS FOR CENTRIFUGALLY SEPARATING MIXED COMPONENTS OF A FLUID STREAM filed January 25, 2002, now U.S. Patent No. 6,719,681, in the name of Kevin E. Collier, which is relied upon for an earlier filing date under 35 USC § 120. As such, copies of the cited references are not enclosed.

Dated this 24th day of June 2005.

Respectfully submitted,

A handwritten signature in black ink, appearing to read "Dana L. Tangren". The signature is fluid and cursive, with the first name "Dana" being more prominent.

Dana L. Tangren
Attorney for Applicant
Registration No. 37,246
Customer No. 022913

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Applicant: Kevin E. Collier
 Serial No.: 10/821,562
 Filing Date: April 9, 2004
 For: CENTRIFUGAL SEPARATORS



Sheet 1 of 6
 Confirmation No.: 1275
 Att'y Docket No.: 14794.3.1.1
 Group: 1723

INFORMATION DISCLOSURE CITATIONS MADE BY APPLICANT

U.S. Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Issue Date</u>	<u>Name</u>
_____ 1	RE 34,321	07/20/1993	Campbell
_____ 2	315,876	04/14/1885	Zimmer
_____ 3	382,966	05/15/1888	Freitag
_____ 4	632,616	09/05/1899	Alfven
_____ 5	635,488	10/24/1899	Kneeland
_____ 6	690,833	07/07/1902	Sharples
_____ 7	699,217	05/06/1902	Mccomack
_____ 8	1,664,769	04/03/1928	Chance
_____ 9	1,669,379	01/15/1929	Sperry
_____ 10	1,782,974	11/25/1930	Rozieres
_____ 11	1,811,157	06/23/1931	Schwerdtfeger
_____ 12	1,870,113	08/02/1932	Hawkins et al.
_____ 13	2,010,405	08/06/1935	MacIsaac
_____ 14	2,067,590	01/12/1937	Ayres
_____ 15	2,073,216	03/09/1937	Mann
_____ 16	2,077,813	04/20/1937	Strezynski
_____ 17	2,126,864	08/16/1938	Bath
_____ 18	2,145,541	01/31/1939	Forsberg
_____ 19	2,269,716	01/13/1942	Greg
_____ 20	2,337,291	12/21/1943	Adams et al.
_____ 21	2,422,646	06/17/1947	Bartholomew
_____ 22	2,594,445	04/29/1952	Keith, Jr.

Examiner:

Date Considered:

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609, draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Applicant: Kevin E. Collier

Confirmation No.: 1275

Serial No.: 10/821,562

Att'y Docket No.: 14794.3.1.1

Filing Date: April 9, 2004

Group: 1723

For: CENTRIFUGAL SEPARATORS

23	2,719,668	10/04/1955	Bergner
24	2,733,855	02/07/1956	McCoy
25	2,870,912	01/27/1959	Mathieu
26	3,059,282	10/23/1962	Smith
27	3,081,027	03/12/1963	Coulson
28	3,168,474	02/1965	Stallman et al.
29	3,201,036	08/17/1965	Halbach et al.
30	3,288,360	11/29/1966	Babelay et al.
31	3,307,780	03/07/1967	Kompert
32	3,341,093	09/12/1967	Putterlik
33	3,408,000	10/29/1968	Nilson
34	3,437,209	04/08/1969	Evans
35	3,460,751	08/12/1969	Hemfort, Sr.
36	3,494,545	02/10/1970	Nilson
37	3,535,158	10/20/1970	McBride et al.
38	3,623,658	11/30/1971	Garbaty
39	3,642,196	02/15/1972	Nilsson
40	3,647,135	03/07/1972	Mercier
41	3,655,058	04/11/1972	Novak
42	3,702,704	11/14/1972	Bloch
43	3,703,984	11/28/1972	Pruessner
44	3,730,423	05/01/1973	Coulson
45	3,750,940	08/07/1973	Nilsson
46	3,752,389	08/14/1973	Nilsson
47	3,774,840	11/27/1973	Boatright
48	3,825,177	07/23/1974	Kohlstett
49	3,847,327	11/12/1974	Erikson et al.

Examiner:

Date Considered:

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Confirmation No.: 1275
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_____ 50	3,883,114	05/13/1975	Harris et al.
_____ 51	3,938,734	02/17/1976	Wilke
_____ 52	3,991,935	11/16/1976	Henning
_____ 53	4,015,773	04/05/1977	Thylefors
_____ 54	4,098,696	07/04/1978	Humphrey et al.
_____ 55	4,151,950	05/01/1979	Gunnewig
_____ 56	4,175,040	11/20/1979	Sammons et al.
_____ 57	4,190,530	02/26/1980	Forsythe, Jr. et al.
_____ 58	4,199,459	04/22/1980	Filipowicz et al.
_____ 59	4,295,600	10/20/1982	Saget
_____ 60	4,308,136	12/29/1981	Wame, Jr.
_____ 61	4,362,620	12/07/1982	High
_____ 62	4,406,791	09/27/1983	Khapaev
_____ 63	4,425,240	01/10/1984	Johnson
_____ 64	4,431,540	02/1984	Budzich
_____ 65	4,477,348	10/16/1984	Ayers et al.
_____ 66	4,525,155	06/25/1985	Nilsson, deceased
_____ 67	4,556,528	12/03/1985	Gersch et al.
_____ 68	4,626,237	12/02/1986	Galloway, Jr.
_____ 69	4,634,416	01/1987	Ehnstrom
_____ 70	4,702,837	10/27/1987	Lecoffre et al.
_____ 71	4,758,354	07/19/1988	O'Mara et al.
_____ 72	4,776,833	10/11/1988	Knelson
_____ 73	4,810,240	03/07/1989	Zuccato
_____ 74	4,820,256	04/1989	Nordstrom
_____ 75	4,846,780	07/11/1989	Galloway et al.
_____ 76	4,855,050	08/08/1989	Senyard, Sr. et al.

Examiner:

Date Considered:

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___ 77	4,857,040	08/15/1989	Kashihara et al.
___ 78	4,871,458	10/03/1989	Purvey
___ 79	4,936,821	06/26/1990	Zuccato
___ 80	4,959,158	09/25/1990	Melkrantz
___ 81	4,963,272	10/16/1990	Garrett
___ 82	5,037,558	08/16/1991	Kalnins
___ 83	5,045,046	09/03/1991	Bond
___ 84	5,062,955	11/05/1991	Sciamanna
___ 85	5,068,035	11/28/1991	Mohr
___ 86	5,114,568	05/19/1992	Brinsmead et al.
___ 87	5,116,488	05/26/1992	Torregrossa
___ 88	5,133,861	07/28/1992	Grieve
___ 89	5,149,432	09/22/1992	Lavin
___ 90	5,156,745	10/20/1992	Cairo, Jr. et al.
___ 91	5,180,493	01/19/1993	Grieve
___ 92	5,200,083	04/16/1993	Kaylor
___ 93	5,230,797	07/27/1993	Knelson
___ 94	5,246,592	09/21/1993	Schweizer et al.
___ 95	5,279,637	01/18/1994	Lynam et al.
___ 96	5,354,256	10/11/1994	Knelson
___ 97	5,387,342	02/07/1995	Rogers et al.
___ 98	5,464,536	11/07/1995	Rogers
___ 99	5,466,385	11/14/1995	Rogers et al.
___ 100	5,582,724	12/10/1996	Rogers et al.
___ 101	5,853,266	12/19/1998	Parkinson et al.

Examiner:

Date Considered:

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Foreign Patent Documents

<u>Examiner Initial*</u>	<u>Document Number</u>	<u>Publication Date</u>	<u>Country or Patent Office</u>	<u>Translation</u>
_____ 101	672,184	12/24/1929	France	No
_____ 102	826,502	04/01/1938	France	No
_____ 103	40702	09/03/1887	Germany	No
_____ 104	321 855	06/15/1920	Germany	No
_____ 105	610 608	03/13/1935	Germany	No
_____ 106	723 672	08/08/1942	Germany	No
_____ 107	1 113 184	08/24/1961	Germany	No
_____ 108	1 432 891	09/04/1969	Germany	No
_____ 109	23 36 564	04/01/1975	Germany	No
_____ 110	32 03 185 A1	08/11/1983	Germany	No
_____ 111	34 08 789 A1	09/12/1985	Germany	No
_____ 112	WO 93/11877	06/24/1993	PCT	N/A
_____ 113	66 414	05/23/1967	Poland	No
_____ 114	129 042	12/23/1985	Poland	No
_____ 115	957929	02/06/1981	Russia	No
_____ 116	260,071	08/15/1926	United Kingdom	N/A
_____ 117	2 226 271 A	06/27/1990	United Kingdom	N/A

Examiner:

Date Considered:

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Applicant: Kevin E. Collier
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Group: 1723

Other Documents

(including author, title, pertinent pages, etc.)

Examiner

Initial*

- _____ 118 Technology in Perspective, *Giving Ear to Improve Centrifuge Performance*, 1990.
- _____ 119 Brochure on ALFAX Self-Cleaning Centrifugal Separators with Controlled Partial Discharge – WHPX Series, No. PD A0717E5, ALFA-LAVAZ, 1990.
- _____ 120 Brochure on ALFA-LAVAL Separation, No. PD 41075E, 1990.
- _____ 121 Tim Cornitius, *Advances in Water Treating Solving Production Problems*, Offshore, March 1988, pp. 27-29.
- _____ 122 *Multiphase Boosting and Metering*, The Products of Today for Tomorrow, Framo Engineering AS, Norway, 1992.

References Cited by Applicants

While the filing of Information Disclosure Statements is voluntary, the procedure is governed by the guidelines of Section 609 of the Manual of Patent Examining Procedure and 37 C.F.R. §§ 1.97 and 1.98. To be considered a proper Information Disclosure Statement, Form PTO-1449 shall be accompanied by a copy of each listed patent or publication or other item of information and a translation of the pertinent portions of foreign documents (if an existing translation is readily available to the applicant), an explanation of relevance of each reference not in the English language, and should be submitted in a timely manner as set out in MPEP Sec. 609.

Examiners will consider all citations submitted in conformance with 37 C.F.R. § 1.98 and MPEP Sec. 609 and place their initials adjacent the citations in the spaces provided on this form. Examiners will also initial citations not in conformance with the guidelines which may have been considered. A reference may be considered by the Examiner for any reason whether or not the citation is in full conformance with the guidelines. A line will be drawn through a citation if it is not in conformance with the guidelines AND has not been considered. A copy of the submitted form, as reviewed by the Examiner, will be returned to the applicant with the next communication. The original of the form will be entered into the application file.

Each citation initialed by the Examiner will be printed on the issued patent in the same manner as references cited by the Examiner on Form PTO-892.

The reference designations "A1," "A2," etc. (referring to Applicant's reference 1, Applicant's reference 2, etc.) will be used by the Examiner in the same manner as Examiner's reference designations "A," "B," "C," etc. on Office Action Form PTO-1142.

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Examiner:

Date Considered:

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